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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application : Indulis Gruzins et al. TECH C  
Serial No. : 09/996,480  
Filed : November 20, 2001  
For : POLYOLS CONTAINING CARBOXYL GROUPS AND  
PRODUCTION THEREOF

Examiner :  
Attorney Docket : 102123-200

Group Art Unit : Confirmation No. : 3615

I hereby certify that this con-

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on 19 July 2002 10.

By Todd E. Garabedian  
Todd E. Garabedian, Ph.D.  
Registration No. 39,197  
Attorney for Applicants

**PETITION TO CORRECT FILING RECEIPT**

Office of Initial Patent Examination  
Customer Service Branch  
U.S. Patent and Trademark Office  
Washington, D.C. 20231

Dear Sir:

Enclosed please find a marked-up copy of the updated filing receipt for this application. As indicated in the marked-up copy, the filing date of April 17, 2002, is incorrect. The correct filing date is November 20, 2001.

In support of the Petition, Applicants submit

Applicants respectfully request that the Patent Office make the above correction to accord the application a filing date of November 20, 2001, and issue an updated filing receipt.

If the Examiner requires any additional information, the Examiner is invited to contact Applicants' representative at the telephone number below.

Respectfully submitted,

INDULIS GRUZINS ET AL.

By Todd E. Garabedian  
Todd E. Garabedian, Ph.D.  
Attorney for Applicants  
Registration No. 39,197

WIGGIN & DANA, LLP  
One Century Tower  
New Haven, CT 06508  
Telephone: (203) 498-4400  
Fax: (203) 782-2889

Date: 19 July 2002

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Bib Data Sheet

CONFIRMATION NO. 3615

SERIAL NUMBER 09/996,480	FILING DATE 11/20/2001 RULE	CLASS 560	GROUP ART UNIT 1623	ATTORNEY DOCKET NO. 102123-200
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**APPLICANTS**

Indulis Gruzins, Louisville, KY;  
Donald Farrell McElheney, Louisville, KY;  
Robert C. Hire, Dayville, CT;  
Jerry Douglas Necessary, Elizabethtown, KY;  
Joseph T. Farrell, Brandenburg, KY;

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**\*\* CONTINUING DATA \*\*\*\*\***

THIS APPLICATION IS A CIP OF 09/723,263 11/27/2000

**\*\* FOREIGN APPLICATIONS \*\*\*\*\***

**IF REQUIRED, FOREIGN FILING LICENSE GRANTED**

\*\* 12/11/2001

Foreign Priority claimed	<input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY KY	SHEETS DRAWING 2	TOTAL CLAIMS 31	INDEPENDENT CLAIMS 3
35 USC 119 (a-d) conditions met	<input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged	Examiner's Signature	Initials			

**ADDRESS**

Docket Coordinator  
WIGGIN & DANA, LLP  
One Century Tower  
265 Church Street  
New Haven, CT 06508-1832

**TITLE**

Polyols containing carboxyl groups and production thereof

FILING FEE RECEIVED 1068	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other <input type="checkbox"/> Credit
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COMMISSIONER OF PATENTS & TRADEMARKS  
WASHINGTON, D.C. 20231

ATTORNEY DOCKET NO. 102123-200

Page 1 of 3



## CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date November 20, 2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. EL662089083US to Box PATENT APPLICATION, Commissioner for Patents, P.O. Box 2327, Washington, D.C. 22202

Sheila C. Seemann  
Name of Person Mailing Paper

*Sheila C. Seemann*  
Signature of Person Mailing Paper

## APPLICATION TRANSMITTAL UNDER 37 C.F.R. § 1.53

Transmitted herewith for filing under 37 C.F.R. § 1.53 is the patent application of:

Inventor(s): 1) Indulis Gruzins 2) Donald Farrell McElheney  
3) Robert C. Hire 4) Jerry Douglas Necessary  
5) Joseph T. Farrell

for:

POLYOLS CONTAINING CARBOXYL GROUPS  
AND PRODUCTION THEREOF

1. Type of Application

Original  Continuation  Divisional  
 Continuation-In-Part

2. Benefit of Prior Foreign Application(s) (35 U.S.C. § 119)

The new application being transmitted claims the benefit of  
 prior foreign application serial no. \_\_\_\_\_, filed on \_\_\_\_\_  
in \_\_\_\_\_ (country); or  
 PCT international application designating at least one country  
other than the U.S. application Serial no. \_\_\_\_\_, filed on \_\_\_\_\_.

A certified copy is  enclosed or  on file in the prior application.

3. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e) and 120)

The new application being transmitted claims the benefit of prior copending U.S. application(s):  
Serial No. 09/723,263, filed on November 27, 2000;

4. Papers Enclosed Which Are Required for Filing Under 37 C.F.R. § 1.53(b)

[32]	page(s) of Specification
[ 5 ]	page(s) of Claims, having <u>32</u> claims, including <u>5</u> independent and <u>27</u> dependent claims
[1]	page(s) of Abstract
[0]	sheet(s) of [ ] formal [ ] informal Drawings

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5. Additional Papers Enclosed

Preliminary Amendment  
 Information Disclosure Statement  
 Form PTO-1449  
 Copies of Cited Art  
 Other

Declaration

6. An unsigned declaration is  enclosed  not enclosed.

7. Assignment

Enclosed is a recordation form and an assignment of the invention to

8. Small Entity Status

Applicant claims small entity status.

9. Fee Calculation (37 C.F.R. § 1.16)

CLAIMS AS FILED					
	Number Filed	Number Extra	Rate	Basic Fee	\$ 740.00
Total Claims	32	-20	-11-	\$18.00	\$ 216.00
Independent claims	5	-3	-2-	\$840	\$ 168.00
Multiple Dependent claims, if any:				\$280.00	280.00
Total					\$1,404.00
Reduction for small entity by 50%					\$
TOTAL FILING FEE					\$1,404.00

10. Method of Payment of Fees

Check in the amount of \$

Charge Account No. 23-1665 in the amount of \$ 1,404.00.

11. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees which may be required under 37 C.F.R. §§ 1.16 and 1.17, or credit any overpayment to Account No. 23-1665.

12. Correspondence

Please address all correspondence to:

**Docket Coordinator**  
WIGGIN & DANA, LLP  
One Century Tower  
265 Church Street  
New Haven, CT 06508-1832



Dale Lynn Carlson  
Reg. No. 28,784

WIGGIN & DANA  
One Century Tower  
New Haven, CT 06508-1832  
Tel. (203) 498-4400

Date: November 20, 2001



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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/86,480	01/20/2001	1623	938	102123-200		31	3

CONFIRMATION NO. 3615

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\*OC000000007185719\*

Date Mailed 12/12/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

#### Applicant(s)

Indulis Gruzins, Louisville, KY;  
Donald Farrell McElheney, Louisville, KY;  
Robert C. Hire, Dayville, CT;  
Jerry Douglas Necessary, Elizabethtown, KY;  
Joseph T. Farrell, Brandenburg, KY;

#### Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/723,263 11/27/2000

#### Foreign Applications

If Required, Foreign Filing License Granted 12/11/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

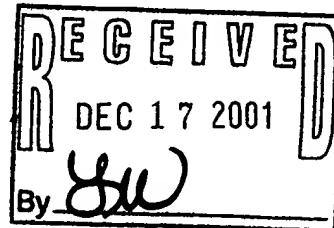
#### Title

Polyols containing carboxyl groups and production thereof

ENTERED INTO CPI  
10/17/01

Initials

Date



Preliminary Class

560

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

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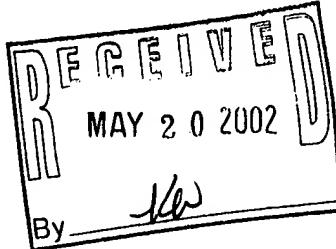
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/996,480	04/17/2002 11/20/01	1623	1068	102123-200	2	31	3

Docket Coordinator  
WIGGIN & DANA, LLP  
One Century Tower  
265 Church Street  
New Haven, CT 06508-1832



CONFIRMATION NO. 3615

UPDATED FILING RECEIPT



OC000000008106049\*

Date Mailed: 05/14/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

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Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/723,263 11/27/2000

Foreign Applications

If Required, Foreign Filing License Granted 12/11/2001

Projected Publication Date: 08/22/2002

Non-Publication Request: No

Early Publication Request: No

Title

Polyols containing carboxyl groups and production thereof

ENTERED INTO CPI  
Initials: KW Date: 5/20/02

Preliminary Class

560

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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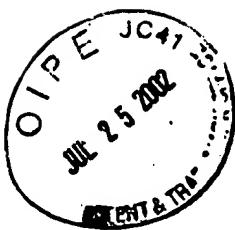
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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

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